

APPENDIX 4**SAFETY & HEALTH MANAGEMENT SYSTEM (SHMS) SELF-EVALUATION**

For each of the 30 attributes below, please rate your agency based on the current reporting period experience. All attributes are applicable to federal agencies, regardless of mission or size. Please use the descriptors of the safety and health attributes, provided in Attachment 1 to this appendix, to aid your rating efforts for each attribute. Indicate your rating of each attribute by checking the appropriate rating box. **Please include a detailed narrative with examples to support the rating you provided, including elements rated with an 'NA'.**

The rating system is as follows:

Attribute Rating System

Rating	Definition
0	The attribute does not exist.
1	The attribute needs major improvements.
2	The attribute needs minor improvement.
3	The attribute is highly effective.
NA	The attribute is not applicable.

I. HAZARD ANTICIPATION & DETECTION

	0 = Does Not Exist	1 = Needs Major Improvement	2 = Needs Minor Improvement	3 = Is Highly Effective	NA = Not Applicable
1. A comprehensive, baseline hazard survey has been conducted within the past five (5) years.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	GSA planned for the required OSH surveys, and on average inspected approximately 50% of GSA workplaces in CY 2016. Surveys are performed by qualified personnel. Some regions performed these surveys as a part of the 5-year Safety and Environmental Management Surveys or the Management Analysis Review System (MARS) surveys. The majority of GSA workplaces are low risk office space.				
2. Effective safety and health self-inspections are performed regularly.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Approximately 50% of GSA workplaces were inspected in CY 2016.				

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3. Effective surveillance of established hazard controls is conducted.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	OSH personnel are required to input hazards identified from annual OSH inspections in GSA's Inventory Reporting Information System (IRIS) safety module. However data entry into IRIS has declined due to the availability of staff resources. GSA is proceeding to re-scope inspection contracts to require inspection data be submitted in an electronic format suitable for upload into IRIS.				
4. Change analysis is performed whenever a change in facilities, equipment, materials, or processes occurs.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	OSH personnel do not typically review facility design changes but more commonly inspect sites after changes have been made. GSA is developing a national design review process (in the Office of Facilities Management) to standardize reviews and ensure such are addressed early in the design process.				
5. Safety Data Sheets (aka MSDSs) are used to reveal potential hazards associated with chemical products in the workplace.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	GSA employees typically do not use chemicals to perform their duties, with the exception of approximately 200 tradespersons in the National Capital Region (NCR) located in the Washington DC area. The National Capital Region has a robust HAZCOM program in place. Additionally, GSA requires all contractors maintain chemical inventories as appropriate and comply with 29 CFR 1910.1200.				

II. HAZARD PREVENTION & CONTROL

	0 = Does Not Exist	1 = Needs Major Improvement	2 = Needs Minor Improvement	3 = Is Highly Effective	NA = Not Applicable
6. Feasible engineering controls are in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<i>Narrative</i>	Engineering controls are in place for all projects and major renovations as delineated in GSA's PBS-P100, Facilities Standards for the Public Buildings Service (P100). The P100 requires adherence to the ANSI Z10 hierarchy of controls where feasible. GSA needs to ensure safety and health personnel become more involved in the review of project designs.				
7. Effective safety and health rules, and work practices are in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	GSA is not an industrial organization as most of the employees work in office type environments. Employees are reminded of safe work practices in the office environment through postings on regional intra-net sites, meetings, building signs and other training venues. Regional rules and practices can be improved by standardizing them nationally and formally publishing them with the planned update of the GSA OSH Order.				
8. Applicable OSHA-mandated programs are effectively in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Since GSA employees are primarily located in office environments, the majority of the programs are administrative and fall under 29 CFR 1960. Higher hazard programs such as electrical safety, asbestos, work at elevation, etc. have been implemented from the perspective of "GSA as owner" since our employees generally do not perform this higher hazard work. To the extent that GSA employees are exposed to these higher hazards (such as tradespersons and building managers performing inspections) applicable OSHA-mandated programs are in place.				
9. An effective procedure for tracking hazard correction is in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	A procedure for tracking and monitoring hazards is in place through GSA's Inventory Reporting Information System (IRIS) safety module. GSA has observed that the tracking system is not always utilized as intended. GSA will continue to emphasize the importance and proper use of this system with all regions.				

III. PLANNING & EVALUATION

	0 = Does Not Exist	1 = Needs Major Improvement	2 = Needs Minor Improvement	3 = Is Highly Effective	NA = Not Applicable
10. Hazard incidence data are effectively analyzed.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	The DOL eComp program had access problems (safety reviewers obtaining access) and not all offices had safety personnel on staff in CY 2016 to investigate and record incident data. Access problems are being resolved through OHRM. Where safety staffing has been an issue other resources are being re-directed to perform the recommended analyses.				
11. An action plan designed to accomplish the organization's safety and health objectives is in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Individual offices have developed action plans. GSA uses the goals submitted in the annual report to DOL as the foundation for agency-wide planning.				
12. A review of the overall safety and health management system is conducted at least annually.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	GSA uses the OMB Circular A123 Enterprise Risk Management and Internal Control process to address key OSH vulnerabilities.				

IV. ADMINISTRATION & SUPERVISION

	0 = Does Not Exist	1 = Needs Major Improvement	2 = Needs Minor Improvement	3 = Is Highly Effective	NA = Not Applicable
13. Safety and health program tasks are each specifically assigned to a person or position for performance or coordination.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	The national OSH manager position is currently vacant. Several OSH vacancies exist across the agency; however, GSA has been progressively filling these gaps.				

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14. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Where safety and health specialists are in place, those individuals generally possess the requisite knowledge, skills, and abilities to perform their duties - specifically they all have a working knowledge of 29 CFR 1910 (General Industry) and 29 CFR 1926 (Construction). However, in CY 2016, keeping current in those skills through continuing education was not always maintained for a variety of reasons. GSA is looking at ways to acquire on-line training courses for low cost and ease of use to improve in this area.				
15. Individuals with assigned safety and health responsibilities have the authority to perform their duties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	All individuals involved in safety and health at GSA have the authority to perform their duties.				
16. Individuals with assigned safety and health responsibilities have the resources to perform their duties.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Resources are lacking in terms of staff, contract support, and travel/training funds.				
17. Organizational policies promote the performance of safety and health responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	GSA employees generally support safety and health initiatives and are aware of how to elevate concerns. Several offices have outreach programs and have met periodically with employees in their respective locations. Some offices have quarterly meetings with collateral duty safety personnel where training and concerns are addressed.				

V. SAFETY & HEALTH TRAINING

The *Occupational Safety and Health Training Guidelines for Federal Agencies* guidelines are available at: http://www.osha.gov/dep/facosh/osh_training_guidelines2014.pdf.

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18. Employees receive appropriate safety and health training (including those overseas).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Most offices report that employees are adequately trained to perform assigned duties. The majority of training is accomplished through online training courses.				
19. New employee orientation includes applicable safety and health information.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	New employee orientation includes applicable safety and health information; however the materials should be reviewed and updated as needed.				
20. Supervisors receive training that covers the supervisory aspects of their safety and health responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Offices reported training supervisors on facility safety, ergonomics, slips, trips, and falls; hazard communication; fall protection; electrical safety; lockout/tag-out; machine guarding; hazard reporting; hazardous materials; ladder safety; first aid and motor vehicle safety.				

VI. MANAGEMENT LEADERSHIP

	0 = Does Not Exist	1 = Needs Major Improvement	2 = Needs Minor Improvement	3 = Is Highly Effective	NA = Not Applicable
21. Top management policy establishes clear priority for safety and health.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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<i>Narrative</i>	GSA safety policy is established and included in the current and proposed internal directive.				
22. Top management provides competent safety and health staff support to line managers and supervisors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Safety and health staff provide support to all business lines.				
23. Managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Authority is appropriately delegated.				
24. Managers allocate the resources needed to properly support the organization's SHMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<i>Narrative</i>	GSA does not have a formal Safety and Health Management System (SHMS).				
25. Managers assure that appropriate safety and health training is provided.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Within the Office of Facilities Management, the final development of a formal training plan for 2016 was postponed due to other critical organizational priorities. As such, the regions were left to determine training requirements they deemed appropriate, rather than working off of a national template/plan. The development of a national training plan, with safety and health specifically integrated into that plan and made readily available would allow for improvement in this area.				
26. Top management is involved in the planning and evaluation of safety and health performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<i>Narrative</i>	The PBS Deputy Commissioner has been involved with the appropriate organizational structure/alignment for the GSA Occupational Safety and Health Program and significant OSH issues as appropriate.
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VII. EMPLOYEE PARTICIPATION

	0 = Does Not Exist	1 = Needs Major Improvement	2 = Needs Minor Improvement	3 = Is Highly Effective	NA = Not Applicable
27. There is an effective process to involve employees in safety and health issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	In general, employees are involved in the safety and health process on an informal basis, as needed. GSA took steps to formalize a national safety and health committee in CY 2016. Regional safety and health committees are currently being formed throughout the agency and are at different stages of development. These initiatives will increase employee involvement.				
28. Employees are involved in organizational decision-making in regard to the allocation of safety and health resources.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Offices responsible for safety reported that supervisors involve employees with decision-making. Additionally, employees are briefed when there are changes in process or procedures.				
29. Employees are involved in organizational decision-making in regard to safety and health training.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Narrative</i>	Suggestions are brought forward at periodic national safety and health network calls.				
30. Employees participate in the evaluation of safety and health performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<i>Narrative</i>	Employee evaluation of safety and health performance is provided through the annual Employee Viewpoint Survey and the annual GSA Tenant Satisfaction Survey (TSS).
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